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PATENT
Attorney Docket No.: 16303-002430

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Assistant Commissioner for Patents
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By: 

jc511 U.S. PTO
09/431594
11/01/99

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

JEFFERY J. WHEELER, *et al.*

Application No.: Unassigned

Filed: November 1, 1999

For: LIPID-NUCLEIC ACID
PARTICLES PREPARED VIA A
HYDROPHOBIC LIPID-NUCLEIC
ACID COMPLEX INTERMEDIATE
AND USE FOR GENE TRANSFER

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR §1.97 and
§1.98

Assistant Commissioner for Patents
Washington, D.C. 20231

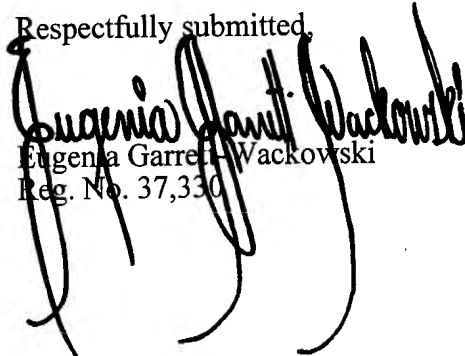
Sir:

The references cited on attached form PTO-1449 are being called to the attention of the Examiner. In accordance with 37 CFR §1.98(d), copies of the references can be found in Application No. 08/660,025, filed June 6, 1996 (Attorney Docket No. 16303-002410). It is respectfully requested that the cited information be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.


As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicants believe that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,


Eugenia Garrett Wackowski
Reg. No. 37,330

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| FORM PTO-1449 (Modified) | | | Attorney Docket No.: 16303-002430 | | Application No.: | |
|---|--|----------|--|-------|-------------------|--|
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | | | Applicant: JEFFERY J. WHEELER, <i>et al.</i> | | | |
| | | | Filing Date: 11/1/99 | | Group: Unassigned | |
| Reference Designation | | | U.S. PATENT DOCUMENTS | | | Page 1 |
| Examiner Initial | Document No. | Date | Name | Class | Sub-class | Filing Date (If Appropriate) |
| 1 | 4,394,448 | 7/19/83 | Szoka, Jr., <i>et al.</i> | 424 | 19 | Jd511 U.S. PTO 09/431594  |
| 2 | 4,438,052 | 3/20/84 | Weder, <i>et al.</i> | 264 | 4.6 | |
| 3 | 4,515,736 | 5/7/85 | Deamer | 264 | 4.3 | |
| 4 | 4,598,051 | 7/1/86 | Papahadjopoulos, <i>et al.</i> | 436 | 512 | |
| 5 | 4,897,355 | 1/30/90 | Eppstein, <i>et al.</i> | 435 | 240.2 | |
| 6 | 5,013,556 | 5/7/91 | Woodle, <i>et al.</i> | 424 | 450 | |
| 7 | 5,171,678 | 12/15/92 | Behr, <i>et al.</i> | 435 | 172.3 | |
| 8 | 5,208,036 | 5/4/93 | Eppstein, <i>et al.</i> | 424 | 450 | |
| 9 | 5,225,212 | 7/6/93 | Martin, <i>et al.</i> | 424 | 450 | |
| 10 | 5,264,618 | 11/23/93 | Felgner, <i>et al.</i> | 560 | 224 | |
| 11 | 5,279,833 | 1/18/94 | Rose | 424 | 450 | |
| 12 | 5,283,185 | 2/1/94 | Epand, <i>et al.</i> | 435 | 172.3 | |
| 13 | 5,320,906 | 6/14/94 | Eley, <i>et al.</i> | 428 | 402.2 | |
| 14 | 5,545,412 | 8/13/96 | Eppstein, <i>et al.</i> | 424 | 450 | |
| 15 | 5,705,385 | 1/6/98 | Bally, <i>et al.</i> | 435 | 320.1 | |
| FOREIGN PATENT DOCUMENTS | | | | | | |
| | Document No. | Date | Country | Class | Sub-class | Translation (Yes/No) |
| 16 | WO 91/16024 | 10/31/91 | PCT | | | |
| 17 | WO 93/05162 | 3/18/93 | PCT | | | |
| 18 | WO 93/12756 | 7/8/93 | PCT | | | |
| 19 | WO 95/02698 | 1/26/95 | PCT | | | |
| 20 | WO 96/10390 | 4/11/96 | PCT | | | |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | |
| 21 | Ballas, <i>et al.</i> , <i>Biochim. Biophys. Acta</i> , 939:8-18 (1988) | | | | | |
| 22 | Behr, <i>Acc. Chem. Res.</i> , 26:274-78 (1993) | | | | | |
| 23 | Brigham, <i>et al.</i> , <i>Am. J. Med. Sci.</i> , 298:278-281 (1989) | | | | | |
| 24 | Culver, <i>Gene Therapy: A Handbook for Physicians</i> , pp. 33-40 (1994) | | | | | |
| 25 | Duzgunes, <i>Subcellular Biochemistry</i> , 11:195-286 (1985) | | | | | |
| 26 | Enoch, <i>et al.</i> , <i>Proc. Natl. Acad. Sci. USA</i> , 76(1):145-149 (1979) | | | | | |
| 27 | Felgner, <i>et al.</i> , <i>Proc. Natl. Acad. Sci. USA</i> , 84:7413-7417 (1987) | | | | | |
| 28 | Gao, <i>et al.</i> , <i>Biochem. Biophys. Res. Comm.</i> , 179:280-285 (1991) | | | | | |
| 29 | Gershon, <i>et al.</i> , <i>Biochemistry</i> , 32:7413-7151 (1993) | | | | | |
| 30 | Hawley-Nelson, <i>et al.</i> , <i>Focus</i> , 15(3):73 (1993) | | | | | |
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| | | Filing Date: 11/1/99 | Group: Unassigned |
| _____ 33 | Legendre, <i>Pharm. Res.</i> , 9:1235-1242 (1992) | | |
| _____ 34 | Leventis, <i>et al.</i> , <i>Biochem. Biophys. Acta</i> , 1023:124 (1990) | | |
| _____ 35 | Puyal, <i>et al.</i> , <i>Eur. J. Biochem.</i> , 228:697-703 (1995) | | |
| _____ 36 | Stamatatos, <i>et al.</i> , <i>Biochemistry</i> , 27:3917-3925 (1988) | | |
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| EXAMINER | | DATE CONSIDERED | |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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